

# INSTRUCTIONAL MEMORANDUMS

## To Local Public Agencies



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| To: Counties and Cities                                      | Date: September 13, 2016 |
| From: Office of Local Systems                                | I.M. No. 3.005           |
| Subject: Project Development Submittal Dates and Information |                          |

**Contents:** This Instructional Memorandum (I.M.) lists the submittal dates for some of the major milestone events for development for Local Public Agency (LPA) projects that will be let by the Iowa Department of Transportation (Iowa DOT). It also summarizes the information that should be included with each submittal.

### Submittal Dates for Local Public Agency Projects Let by the Iowa DOT

Following are submittal dates for the November 15, 2016, through April 16, 2019, Iowa DOT lettings. All submittals should be *received* by the Iowa DOT Administering Office on the dates shown below. However, early submittals are always encouraged.

| Concept Statement |                  | Preliminary Plans |                  | Check Plans     |                 | Final Plans and PDC (2 weeks) | Contracts Turn-in | Letting Date | Federal Fiscal Year |
|-------------------|------------------|-------------------|------------------|-----------------|-----------------|-------------------------------|-------------------|--------------|---------------------|
| Major (42 weeks)  | Minor (16 weeks) | Major (16 weeks)  | Minor (11 weeks) | Major (6 weeks) | Minor (5 weeks) |                               |                   |              |                     |
| 11/17/15          | 05/17/16         | 05/17/16          | 06/21/16         | 07/26/16        | 08/02/16        | 08/23/16                      | 09/06/16          | 11/15/16     | 2017                |
| 12/15/15          | 06/14/16         | 06/14/16          | 07/19/16         | 08/23/16        | 08/30/16        | 09/20/16                      | 10/04/16          | 12/20/16     |                     |
| 01/12/16          | 07/12/16         | 07/12/16          | 08/16/16         | 09/20/16        | 09/27/16        | 10/18/16                      | 11/01/16          | 01/18/17     |                     |
| 02/16/16          | 08/16/16         | 08/16/16          | 09/20/16         | 10/25/16        | 11/01/16        | 11/22/16                      | 12/06/16          | 02/21/17     |                     |
| 03/15/16          | 09/13/16         | 09/13/16          | 10/18/16         | 11/22/16        | 11/29/16        | 12/20/16                      | 01/03/17          | 03/21/17     |                     |
| 04/19/16          | 10/18/16         | 10/18/16          | 11/22/16         | 12/27/16        | 01/03/17        | 01/24/17                      | 02/07/17          | 04/18/17     |                     |
| 05/17/16          | 11/15/16         | 11/15/16          | 12/20/16         | 01/24/17        | 01/31/17        | 02/21/17                      | 03/07/17          | 05/16/17     |                     |
| 06/14/16          | 12/13/16         | 12/13/16          | 01/17/17         | 02/21/17        | 02/28/17        | 03/21/17                      | 04/04/17          | 06/20/17     |                     |
| 07/12/16          | 01/10/17         | 01/10/17          | 02/14/17         | 03/21/17        | 03/28/17        | 04/18/17                      | 05/02/17          | 07/18/17     |                     |
| 08/16/16          | 02/14/17         | 02/14/17          | 03/21/17         | 04/25/17        | 05/02/17        | 05/23/17                      | 06/06/17          | 08/15/17     |                     |
| 09/13/16          | 03/14/17         | 03/14/17          | 04/18/17         | 05/23/17        | 05/30/17        | 06/20/17                      | <b>07/04/17</b>   | 09/19/17     |                     |
| 10/11/16          | 04/11/17         | 04/11/17          | 05/16/17         | 06/20/17        | 06/27/17        | 07/18/17                      | 08/01/17          | 10/17/17     | 2018                |
| 11/15/16          | 05/16/17         | 05/16/17          | 06/20/17         | 07/25/17        | 08/01/17        | 08/22/17                      | 09/05/17          | 11/21/17     |                     |
| 12/13/16          | 06/13/17         | 06/13/17          | 07/18/17         | 08/22/17        | 08/29/17        | 09/19/17                      | 10/03/17          | 12/19/17     |                     |
| 01/17/17          | 07/18/17         | 07/18/17          | 08/22/17         | 09/26/17        | 10/03/17        | 10/24/17                      | 11/07/17          | 01/17/18     |                     |
| 02/14/17          | 08/15/17         | 08/15/17          | 09/19/17         | 10/24/17        | 10/31/17        | 11/21/17                      | 12/05/17          | 02/20/18     |                     |
| 03/14/17          | 09/12/17         | 09/12/17          | 10/17/17         | 11/21/17        | 11/28/17        | 12/19/17                      | 01/02/18          | 03/20/18     |                     |
| 04/18/17          | 10/17/17         | 10/17/17          | 11/21/17         | 12/26/17        | 01/02/18        | 01/23/18                      | 02/06/18          | 04/17/18     |                     |
| 05/16/17          | 11/14/17         | 11/14/17          | 12/19/17         | 01/23/18        | 01/30/18        | 02/20/18                      | 03/06/18          | 05/15/18     |                     |
| 06/13/17          | 12/12/17         | 12/12/17          | 01/16/18         | 02/20/18        | 02/27/18        | 03/20/18                      | 04/03/18          | 06/19/18     |                     |
| 07/11/17          | 01/09/18         | 01/09/18          | 02/13/18         | 03/20/18        | 03/27/18        | 04/17/18                      | 05/01/18          | 07/17/18     |                     |
| 08/15/17          | 02/13/18         | 02/13/18          | 03/20/18         | 04/24/18        | 05/01/18        | 05/22/18                      | 06/05/18          | 08/21/18     |                     |
| 09/12/17          | 03/13/18         | 03/13/18          | 04/17/18         | 05/22/18        | 05/29/18        | 06/19/18                      | 07/03/18          | 09/18/18     | 2019                |
| 10/17/17          | 04/17/18         | 04/17/18          | 05/22/18         | 06/26/18        | 07/03/18        | 07/24/18                      | 08/07/18          | 10/16/18     |                     |
| 11/14/17          | 05/15/18         | 05/15/18          | 06/19/18         | 07/24/18        | 07/31/18        | 08/21/18                      | 09/04/18          | 11/20/18     |                     |
| 12/12/17          | 06/12/18         | 06/12/18          | 07/17/18         | 08/21/18        | 08/28/18        | 09/18/18                      | 10/02/18          | 12/18/18     |                     |
| 01/16/18          | 07/17/18         | 07/17/18          | 08/21/18         | 09/25/18        | 10/02/18        | 10/23/18                      | 11/06/18          | 01/16/19     |                     |
| 02/13/18          | 08/14/18         | 08/14/18          | 09/18/18         | 10/23/18        | 10/30/18        | 11/20/18                      | 12/04/18          | 02/19/19     |                     |
| 03/13/18          | 09/11/18         | 09/11/18          | 10/16/18         | 11/20/18        | 11/27/18        | 12/18/18                      | <b>01/01/19</b>   | 03/19/19     |                     |
| 04/17/18          | 10/16/18         | 10/16/18          | 11/20/18         | 12/25/18        | 01/01/19        | 01/22/19                      | 02/05/19          | 04/16/19     |                     |

Important notes regarding submittal dates:

- 1) Projects using the “Major” submittal dates typically involve any of the following: wetlands, recreational areas, or wildlife refuges; railroad crossings; historical structures or historical districts; right-of-way or easement acquisitions; or Federal-aid for consultant work. Examples include relocating a road on new alignment, major reconstruction, a major bridge, or a historical structure. Note: All projects requiring a hydraulic or structural review should follow the schedule for “Major” type projects.
- 2) Projects using the “Minor” submittal dates typically do not involve any of the items listed above for the “Major” type projects. Examples include an asphalt resurfacing project or a bike trail surfacing project on an existing railroad bed.
- 3) Neither the Major nor the Minor project submittal dates are applicable to Federal-aid projects that require an Environmental Assessment (EA) or Environmental Impact Statement (EIS) document. The submittal dates shown above reflect the *minimum* amount of time required by the Iowa DOT to review the submittal. *These dates do not reflect the time that may be required by other agencies for the appropriate reviews and approvals.* The project schedule should be based on the specific circumstances of the project. Federal-aid projects that have significant impacts to environmental or historical resources, require large amounts of right-of-way, or involve adjustments to railroad or utility facilities, will likely require additional time to develop for letting. Therefore, in such cases, it will probably be necessary to submit the Concept Statement and Preliminary Plans earlier than the dates shown. For additional guidance and information, refer to [I.M. 3.002](#), Federal-aid Project Scheduling.
- 4) The “Final Plans and PDC” date is when the LPA shall submit final plans and the Project Development Certification (PDC) to the Administering Office.
- 5) The “Letting Date” is the third Tuesday of every month, except January, which is the Wednesday after the third Tuesday of the month.
- 6) The “Contracts Turn-in” date is the first Tuesday, 2 months prior to letting. This date is when the Administering Office will deliver final plans to the Iowa DOT Office of Contracts.
- 7) All other submittal dates are calculated from the “Contracts Turn-in” date by subtracting the number of weeks shown. When a submittal date falls on a holiday (shown in **bold**), the submittal is due one working day prior to the holiday.
- 8) The “Fiscal Year” is the Federal fiscal year in which a project should be programmed in the Statewide Transportation Improvement Program (STIP) for the letting dates shown. Even though October 1 is the beginning of the Federal fiscal year, projects targeting an October letting should be programmed in the previous fiscal year. This is because projects in the October letting are authorized for letting in September.

**Administering Office:** When it occurs in this document, and elsewhere throughout the I.M.s, the term, “Administering Office,” shall refer to the Iowa DOT [Office of Systems Planning](#) for projects funded by the Transportation Alternatives Program (TAP), Transportation Enhancement, Federal Recreational Trails, Scenic Byways, Safe Routes to School, or Revitalize Iowa’s Sound Economy (RISE) programs; unless such projects are already being administered by one of the Iowa DOT District Offices. For all other projects, the term, “Administering Office,” shall refer to the appropriate Iowa DOT [District Office](#).

**Electronic Submittals:** Plans shall be submitted electronically and conform to the requirements of [Specifications for Electronic Plan Submittals to the Iowa DOT](#). All other submittals listed below shall also be submitted in electronic format, provided the means of transmission and file format is acceptable to the Administering Office. Due to e-mail file size limitations, the Iowa DOT recommends that electronic plans and all other electronic submittals be transmitted using the submittal tools provided in the Transportation Program Management System ([TPMS](#)). To obtain access to TPMS, contact the Iowa County Engineer’s Service Bureau at 515-244-0779. If sent by e-mail, contact the Administering Office for the appropriate e-mail address. The preferred file format for other electronic documents is Adobe Acrobat’s Portable Document Format (PDF). Other acceptable file formats include: Microsoft Word (\*.doc), Joint Photographs Expert Group (\*.jpg), Graphic Interchange Format (\*.gif), and Tag Image File Format (\*.tif).

**Concept Statement:** Include the following items in a Federal-aid project “Concept Statement for Local Systems Federal-aid Projects” ([Form 517001](#)) submittal (non-Federal-aid projects do not require a Concept Statement):

- ☐ A transmittal letter, memo, or e-mail. Include a description of any unique aspects of the project or other information that cannot be adequately explained on the Concept Statement form.
- ☐ A completed Concept Statement. Include a location map and any applicable environmental documents. For more information, refer to [I.M. 3.105](#), Concept Statement Instructions.
- ☐ Design exception documentation, if required as per Section 5.3.1 of the [Federal-aid Project Development Guide for Local Public Agencies](#) (Guide) for urban design guidelines, or [I.M. 3.210](#), Rural Design Guidelines. If the need for a design exception cannot be determined when the Concept Statement is submitted, submit

the design exception request as soon as possible, but no later than the Check Plan submittal date.

- ❑ If required by the Concept Statement, include the Environmental Data Sheet ([Form 517006](#)). If the information required by this form is not known at the time of the Concept Statement submittal, submit the Environmental Data Sheet as soon as possible, but no later than the Preliminary Plan submittal date. For more information, refer to [I.M. 3.110](#), Environmental Data Sheet Instructions.

Incomplete Concept Statement submittals will delay project reviews. All submittals shall include the Iowa DOT project number. Users of the [TPMS](#) may request project numbers using this system; otherwise, contact the Administering Office to obtain a project number.

**Preliminary Plans:** Submit in accordance with [I.M. 3.405](#), Preliminary Plans and [I.M. 3.410](#), Preliminary Bridge and Culvert Plans.

Please note: Design activities for Federal-aid projects may not progress past the preliminary plan stage until after FHWA Environmental Concurrence has been received.

**Check and Final Plans:** Submit in accordance with [I.M. 3.505](#), Check and Final Plans and [I.M. 3.510](#), Check and Final Bridge or Culvert Plans.